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INVENTOR(S): Shell S. SIMPSON, et al.

TITLE: METHOD AND APPARATUS FOR PROVIDING PRINT JOB STATUS

Enclosed are:

☒ The Declaration and Power of Attorney. ☒ signed ☐ unsigned or partially signed☒ 14 sheets of drawings (one set) ☐ Associate Power of Attorney☐ Form PTO-1449 ☐ Information Disclosure Statement and Form PTO-1449☐ Priority document(s) ☐ (Other) (fee \$ )

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# **METHOD AND APPARATUS FOR PROVIDING PRINT JOB STATUS**

## **FIELD OF THE INVENTION**

This invention relates generally to computer controlled printing of documents, and more particularly to the collection of status information regarding print jobs.

## **BACKGROUND OF THE INVENTION**

End-users of computer systems often desire status information regarding print jobs. Existing system and application software provide end-users with mechanisms for obtaining print job status on current WINDOWS (TM) operating systems, but these mechanisms often fall short of meeting the expectations of users. These mechanisms include the "Printers" folder provided by MICROSOFT WINDOWS (TM) and the DOCWISE (TM) package provided by Hewlett-Packard Company, Palo Alto, CA.

A WINDOWS (TM) user can click on a printer icon in the "Printers" folder or double-click on the printer icon in the task bar to view a window 100, as illustrated in Figure 1, containing status information related to her print jobs. Unfortunately, this status might be more accurately called "print queue status." The window 100 shows a list of jobs waiting to be sent to the printer. As each job is sent to the printer, it is removed from the list regardless of whether or not it has completed printing. The state of the printer is displayed provided that a job is currently printing. Most printers have a buffer of memory for accepting incoming jobs. Often, this buffer provides more than enough storage to accommodate the job. This causes all of the print job data to flow into the printer buffer, which removes the print job from the printer status window 100. The print job might suffer from any number of problems while being processed by the printer; however, WINDOWS (TM) has no provision for informing the user of these problems. Once the print job data has been transmitted outside of the operating system, WINDOWS (TM) considers the job completed successfully, despite the fact that end-users do not share this optimism and this behavior does not meet end-users'

1 expectations.

2

3 Recognizing these problems, Hewlett-Packard has developed software that  
4 independently provides print job status. This software is called DOCWISE (TM). In use,  
5 DOCWISE (TM) displays a print job status window 200, as shown in Figure 2, when an end-  
6 user has requested notification. If the end-user requests notification when his print job has  
7 completed, the window 200 is displayed at that time. If the end-user requests notification  
8 when a problem is encountered while processing his print job, the window 200 is displayed at  
9 that time. The notification behavior is configurable.

10

11 Figure 3 illustrates a system memory 300 utilized by DOCWISE (TM). The system  
12 memory 300 is divided into a user mode segment 310 and a kernel mode segment 315.  
13 Kernel mode is a privileged operating system mode reserved for low level drivers and low  
14 level operating system components. In the user mode segment 310 of the system memory  
15 300 are an application 320, a spooler 330, a registry 340 and a status monitor 350. The  
16 application 320 initiates a print job. Processing of the print job involves a print driver, the  
17 spooler 330 and a graphic device interface (GDI) 360, as will now be briefly described. A  
18 print driver is modified (by DOCWISE (TM)) and resides in part in the application 320 and in  
19 part in the kernel mode segment 315. The modified print driver configuration part 370, which  
20 runs in the same address space as the application 320, is responsible for collecting  
21 information about the configuration of the job and the printer. The modified print driver  
22 translation part 375, which resides in the kernel mode segment 315, is responsible for using  
23 the collected information along with a description of the print job to produce something that  
24 the target printer can understand. At the interface between the user mode segment 310 and  
25 the kernel mode segment 315 is the GDI 360. The GDI 360 is the subsystem of the operating  
26 system responsible for handling drawing API calls, which the application 330 makes to the  
27 operating system when printing. The GDI 360 handles the drawing API calls by translating  
28 them into corresponding calls to the modified printer driver translation part 375, which then  
29 generates print data. Then, the GDI 360 sends the print data to the spooler 330. The spooler  
30 330 forwards print data from the GDI 360 to a target printer (not shown). The spooler 330

1 includes a modified port monitor 380 that adds to the stream of data sent to the printer (also  
2 called "output stream" or "print stream") a unique job identifier to facilitate tracking of the  
3 print job.  
4

5 The registry 340 is a collection of settings in the WINDOWS (TM) operating system.  
6 These settings are used by the modified port monitor 380 and the status monitor 350. The  
7 status monitor 350 is responsible for monitoring print job status. The status monitor 350  
8 detects the initiation of a print job and tracks the job as it is processed by the source computer  
9 system and the target printer. More specifically, DOCWISE (TM) detects when a print job is  
10 initiated, determines the WINDOWS (TM) ID (identification) of the job in order to track it  
11 within the spooler 330, and uniquely marks the job so that it can be identified within the  
12 printer. These steps will now be explained in greater detail.  
13

14 The WINDOWS (TM) NT 4.0 operating system provides convenient APIs  
15 (application programming interfaces) that provide notification of when a job is initiated. The  
16 APIs FindFirstPrinterChangeNotification and FindNextPrinterChangeNotification can be  
17 used with the flag PRINTER\_CHANGE\_JOB to monitor for the initiation of a new print job.  
18 Once notified of the existence of a new job, the spooler 330 can quickly be queried for the  
19 most recently added job using the EnumJobs API. Once the job in the spooler 330 has been  
20 identified, its job ID can be obtained.  
21

22 The task of marking the print stream with a unique identifier can be divided into three  
23 subtasks: (1) determining a unique identifier; (2) insuring that the unique identifier is known  
24 to the status monitor 350; and (3) inserting commands that are required to mark the print  
25 stream. DOCWISE (TM) constructs a unique identifier by forming a combination of the  
26 network identifier of the source computer and the local print job ID. The unique identifier is  
27 then unique everywhere on the network, not just on the local machine. The network identifier  
28 of the local machine can be stored in the registry 340 and retrieved as required. Because the  
29 registry is easily accessible to programs, the network identifier can be reliably obtained  
30 anywhere it might be required (i.e. for inserting the commands required to mark the print

stream). The local print job ID is also available throughout much of the operating system. As described above, the status monitor 350 can obtain the local print job ID by immediately querying the spooler 330. The local print job ID is also made available to kernel programs (which are not able to call normal API functions), such as the modified printer driver translation part 375.

DOCWISE (TM) inserts the commands that are required to mark the print stream in two steps. First, the modified printer driver configuration part 370 gathers the information that is required to mark the print stream and places this information into the DEVMODE ("device mode") data structure 385, where such print job settings as number of copies, duplex, color, etc. are stored. Next, the modified port monitor 380 uses this information to make the actual modification to the print stream.

Unfortunately, DOCWISE (TM) suffers from a number of problems having to do with reliability and availability. First, DOCWISE (TM) uses a specially modified printer driver. It can be extremely difficult to modify some printer drivers and to make the modified printer drivers available to end-users. Because many different business entities supply printer drivers to end-users, the necessary cooperation and coordination among these entities is challenging to achieve at best and impossible at worst. Second, DOCWISE (TM) uses a specially modified port monitor to modify the job stream. Because DOCWISE (TM) is linked to a particular port monitor technology, end-users wishing to use a different port monitor are unable to take advantage of the print job tracking capabilities supplied by DOCWISE (TM). Third, printing must occur to a local port -- not a shared network queue as is often used in a network environment where print job status is most important -- for DOCWISE (TM) to operate properly. If a remote spooler is utilized, DOCWISE (TM) cannot provide print status information. The first two problems, by depending on special modifications to software that may vary, result in a brittle solution that is difficult to maintain. The third problem severely limits the availability of the desired print status feature. In summary, DOCWISE (TM) only works under the following three conditions: (1) a printer driver must be modified; (2) a port monitor must be modified; and (3) printing must occur to a local port. Unfortunately, if these

1 conditions are not met, the user simply does not receive print job status. As a result, the user  
2 can get the impression that DOCWISE (TM) behaves inconsistently.

#### 3 4 SUMMARY OF THE INVENTION

5  
6 In one respect, the invention is a method for configuring a computer to obtain status  
7 information for subsequent print jobs to a printer. The method supplies a proxy printer driver  
8 in place of an actual printer driver associated with the printer. The method may hook  
9 functions in the actual printer driver. The method may also configure the computer to spool  
10 RAW datatype to the printer. The method may also store a unique identifier of the computer  
11 in the registry. The method may also set a flag within the registry so as to indicate that the  
12 computer is able to provide status for print jobs on the printer.

13  
14 In another respect, the invention is a method for gathering print status for a print job  
15 from a computer to a printer. The method executes a proxy printer driver while producing the  
16 print job, wherein the proxy printer driver is a proxy for an actual printer driver. The method  
17 inserts into the print job a unique identifier of the print job. The method also queries at least  
18 one of a spooler and the printer regarding status of the print job. Optionally, the method may  
19 detect inception of the print job and produce a notification of the status of the print job. In  
20 executing the proxy printer driver, the method preferably receives a call to a function and  
21 calls a corresponding function in the actual printer driver. In some embodiments, RAW print  
22 data is produced.

23  
24 In yet another respect, the invention is a computer readable medium on which is  
25 embedded a computer program. The program comprises a proxy printer driver translation  
26 part, the proxy printer driver translation part being a proxy for an actual printer driver  
27 translation part. Optionally, the program comprises one or more of a status configuration  
28 utility, a status monitor, a spooler comprising a port monitor, a graphic device interface, a  
29 registry, the actual printer driver translation part and an application.

1           In comparison to known prior art, certain embodiments of the invention are capable of  
2 achieving certain advantages, including some or all of the following: (1) an end-user can  
3 obtain print job status without modification to a printer driver; (2) an end-user can obtain  
4 print job status without modification to a port monitor; (3) an end-user can obtain print job  
5 status consistently, regardless of the printing method -- in particular, regardless of whether a  
6 local port or remote port on a network is utilized; and (4) the solution is much more resilient  
7 and easier to maintain than prior art solutions. Those skilled in the art will appreciate these  
8 and other advantages and benefits of various embodiments of the invention upon reading the  
9 following detailed description of a preferred embodiment with reference to the below-listed  
10 drawings.

11

## 12 BRIEF DESCRIPTION OF THE DRAWINGS

13

14           Figure 1 illustrates a print status window provided by the WINDOWS (TM) operating  
15 system;

16           Figure 2 depicts a print status window provided by the DOCWISE (TM) software;

17           Figure 3 depicts a system memory according to the DOCWISE (TM) software;

18           Figure 4 depicts a system memory according to an embodiment of the invention;

19           Figure 5 is a flowchart of a configuration method according to an embodiment of the  
20 invention;

21           Figures 6-10 are interaction diagrams for printing, according to embodiments of the  
22 invention;

23           Figure 11 is a flowchart of an initial method associated with printing, according to an  
24 embodiment of the invention;

25           Figure 12 is a flowchart of another method associated with printing, according to an  
26 embodiment of the invention;

27           Figure 13 is a flowchart of yet another method associated with printing, according to  
28 an embodiment of the invention; and

29           Figure 14 is a flowchart of a status collection method according to an embodiment of  
30 the invention.

## DETAILED DESCRIPTION OF A PREFERRED EMBODIMENT

### I. System Architecture

Figure 4 depicts a system memory 400 according to an embodiment of the invention. The system memory 400, like the system memory 300, is divided into a user mode segment 410 and a kernel mode segment 415. In the user mode segment 410 are an application 420, a spooler 430, a registry 440, a SAS (stand alone status) configuration utility 445 and a SAS monitor 450. The spooler 430 includes a port monitor 480. At the interface between the user mode segment 410 and the kernel mode segment 415 is the GDI 460. Residing in both the user mode segment 410 and the kernel mode segment 415 is an actual printer driver, the configuration part 470 of which resides in the same address space as the application 420 and the translation part 475 of which resides in the kernel mode segment 415. The system memory 400, unlike the system memory 300, additionally contains a proxy printer driver translation part 490 in the kernel mode segment 415. Hereinafter, the actual printer driver translation part 475 and the proxy printer driver translation part 490 will be referred to as the actual driver 475 and the proxy driver 490, respectively. Embodiments of the invention will be described in subsequent sections with reference to the system memory 400.

The application 420, spooler 430, registry 440, SAS configuration utility 445, SAS monitor 450, GDI 460, actual driver 475, proxy driver 490 and port monitor 480 are preferably software modules. Although software is preferred, some or all of the preceding could be hardware or firmware modules. Software modules can exist in a variety of forms both active and inactive, including data structures, source code, object code, executable code or other formats. Hardware modules can take the form of physical devices or hardware description language (HDL) files. Software files or HDL files can be embodied on a computer readable medium, which include storage devices and signals, in compressed or uncompressed form. Exemplary computer readable storage devices include conventional computer system RAM, ROM (read only memory), EPROM (erasable programmable ROM),



1   EEPROM (electrically erasable programmable ROM), and magnetic or optical disks or tapes.  
2   Exemplary computer readable signals, whether modulated using a carrier or not, are signals  
3   that a computer system can be configured to access, including signals downloaded through  
4   the Internet or other networks. In a sense, the Internet itself, as an abstract entity, is a  
5   computer readable medium. The same is true of computer networks in general. As a final  
6   point on this matter, the various method described below, apart from any particular  
7   architecture such as the shown in Figure 4, can be implemented by program modules, whether  
8   software, firmware, hardware or some combination.

## 10   II. Configuration

12           Figure 5 is a flowchart of a method 500, by which the SAS configuration utility 445  
13   initially configures one or more system printers to be monitored, according to an embodiment  
14   of the invention. The method 500 sets (510) a flag in the "System Printer Settings" portion of  
15   the registry 440, indicating that the printer in question is being monitored, and stores (520) a  
16   unique machine identifier (unique to the network) in the System Printer Settings portion of  
17   the registry 440. This portion of the registry 440 is special in that it can be accessed from a  
18   kernel mode printer driver, such as the actual driver 475 and the proxy driver 490. For each  
19   system printer, the method 500 overwrites (530) the name of the actual driver 475 already  
20   associated with the system printer, replacing it with a proxy driver 490. The particular proxy  
21   driver 490 has a serial number embedded within it. This serial number is recorded in the  
22   registry 440 along with the name of the actual driver 475 the proxy driver 490 is replacing.  
23   This serial number is later used to determine the actual driver 475 for which the proxy driver  
24   490 is a proxy. The method 500 then copies (540) the proxy driver 490 into the directories  
25   where printer drivers are required to reside (e.g., in WINDOWS (TM) NT 4.0, these  
26   directories       are       %SystemRoot%\System32\Spool\Drivers\w32x86\       and  
27   %SystemRoot%\System32\Spool\Drivers\w32x86\2\, where %SystemRoot% is the root  
28   directory on the computer system). Finally, the method 500 sets (550) the "Always Spool  
29   RAW Datatype" flag. This flag is stored in the registry 440 and can be programmatically  
30   changed by modifying the registry 440. An end-user can also modify this flag by choosing

1 printer properties, selecting the general property sheet, clicking the “Print Processor...”  
2 button, and finally clicking on the “Always Spool RAW Datatype” flag. When this flag is  
3 set, printing occurs by either raw spooling to a local port or a remote port, as described in  
4 detail below. This ensures that the printer driver will execute locally, where the preceding  
5 modifications are performed. After completion of the method 500, the computer is able to  
6 obtain status information for subsequent print jobs.

### 8 III. Printing

10 A print job in WINDOWS (TM) NT 4.0 is processed according to one of five  
11 methods. The five methods are (1) RAW spooling to a local port; (2) RAW spooling to a  
12 remote port; (3) EMF (enhanced metafile) spooling with local conversion of EMF to RAW,  
13 sent to a local port; (4) EMF spooling with local conversion of EMF to RAW, sent to a  
14 remote port; and (5) EMF spooling with remote conversion of EMF to RAW, sent to a local  
15 port. These methods are illustrated in Figures 6-10, respectively.

17 Figure 6 is an interaction diagram illustrating raw spooling to a local port of a print  
18 client computer 605, for printing on a target printer 610. In Figure 6, each component of the  
19 interaction occupies a vertical slice, and earlier interactions are shown above later ones (i.e.,  
20 the time axis runs down vertically). In Figure 6, the application 420 makes a series of API  
21 drawing calls describing a print job to the operating system. The GDI 460 handles these calls  
22 by translating them into corresponding calls to entry points of the proxy driver 490. (From  
23 the GDI’s perspective, it thinks it is calling the actual driver 475, but these calls get redirected  
24 to the proxy printer driver translation part 490.) The proxy driver 490 translates its input into  
25 RAW data suitable for transmission to a target printer 610. RAW data may include PCL  
26 (printer control language) or postscript data, and generally includes any form of data  
27 understood by the printer 610. This RAW data is passed back to the GDI 460, which passes it  
28 to the spooler 430, which passes it to the port monitor 480, which finally passes it to the  
29 printer 610. The heavy dashed line in Figure 6 shows the boundary between the print client  
30 machine 605 and the printer 610.

1  
2 Figure 7 is an interaction diagram illustrating raw spooling to a local port. Figure 7 is  
3 much like Figure 6, except three machines are involved in the processing of the job: the print  
4 client 605, a print server 620 (on which a port monitor 640 resides), and the printer 610.  
5 Rather than forwarding RAW data to a local port monitor, the local spooler 430 forwards  
6 RAW data to a remote spooler 630, which in turn forwards the data to a remote port monitor  
7 640. Heavy dashed vertical lines show the boundaries between the print client 605, the print  
8 server 620, and the printer 610.

9  
10 Figure 8 is an interaction diagram illustrating EMF spooling with local conversion of  
11 EMF to RAW, sent to a local port. In Figure 8, the application 420 makes a series of API  
12 calls describing a print job to the operating system once again using the GDI 460. Unlike in  
13 previous interaction diagrams, the GDI 460 translates these API calls into their equivalent  
14 enhanced metafile (EMF) records. EMF records enable API calls made by the GDI 460 to be  
15 captured and later be reused by the GDI 460. The spooler 430 holds these EMF records until  
16 the application 420 finishes making API calls to the GDI 460. This allows the application  
17 420 to complete its part of the printing process quickly so that the user may resume  
18 interacting with the application 420 as soon as possible. (The amount of time it takes for the  
19 application to complete its aspect of printing is referred to as the return to application (RTA)  
20 time.) The spooler 430 then passes the EMF records back to the GDI 460, which translates  
21 them into their corresponding calls to entry points into the proxy driver 490. The rest of the  
22 processing is similar to that involved in raw spooling to a local port.

23  
24 Figure 9 is an interaction diagram illustrating EMF spooling with local conversion of  
25 EMF to RAW, sent to a remote port. Figure 9 is much like the preceding diagram, except that  
26 the RAW data is sent to a remote port (i.e., the remote spooler 630) rather than a local port.  
27 This is similar to what is depicted in Figure 7.

1           Figure 10 is an interaction diagram illustrating EMF spooling with remote conversion  
 2   of EMF to RAW, sent to a local port. According to this technique, EMF is transferred from  
 3   the print client 605 to the print server 620, rather than transferring RAW data to the printer  
 4   610 directly. This technique enables the computational resources available on the print server  
 5   620 to be used for translating the EMF to RAW. A remote GDI 660 and a remote printer  
 6   driver 690, which is ultimately responsible for the conversion, performs this conversion  
 7   remotely on the print server 620, in the same manner as performed on the print client 605  
 8   according to the earlier techniques. That is, the method 500 first executes on the print server  
 9   620, and calls to a remote actual driver are redirected to the remote proxy driver 490.

10

11           To generalize, according to the printing techniques in each of Figures 6-10, when an  
 12   end-user submits a print job, the application 420 seemingly makes API calls to the GDI 460  
 13   (or the GDI 660, if on the print server 620), as it would conventionally. However, the GDI  
 14   460 translates these API calls into printer ready data using the proxy driver 490, instead of  
 15   using the actual driver 475.

16

17           Figure 11 illustrates a method 1100 of initial operation by the proxy driver 490. The  
 18   method 1100 begins when a call to the function DrvEnableDriver is received (1104) from the  
 19   GDI 460. When the GDI 460 calls DrvEnableDriver to load a printer driver, the GDI 460  
 20   expects to have returned to it an array of function pointers to various functions supplied by a  
 21   print driver. When the GDI 460 calls DrvEnableDriver, the proxy driver translation part 490  
 22   responds by loading (1108) the actual driver 475. Next, the method 1100 “hooks” (1112)  
 23   certain GDI functions. “Hooking” is an operation by which functions are replaced or  
 24   enhanced. The particular GDI functions hooked by the step 1112 in this embodiment are  
 25   EngWritePrinter, EngGetDriverName, EngLoadImage and EngUnloadImage. The details of  
 26   hooking are explained more extensively below. After the hooking step 1112, the method  
 27   1100 calls (1116) the actual driver’s (475) implementation of the DrvEnableDriver function.  
 28   The proxy driver 490 stores (1120) the actual function pointers returned by DrvEnableDriver  
 29   and replaces (1124) at least selected ones of these pointers with proxy function pointers (i.e.,  
 30   pointers to the proxy driver’s (490) own implementation of the functions). In one

1 embodiment, the function pointers for DrvEnablePDEV, DrvDisablePDEV, DrvStartDoc, and  
2 DrvEndDoc are replaced by pointers to functions named ProxyEnablePDEV,  
3 ProxyDisablePDEV, ProxyStartDoc and ProxyEndDoc, respectively. Thereafter, GDI 460  
4 calls to these functions will invoke the proxy implementations, even though the GDI 460 will  
5 think it is calling the actual implementations.

6

7 The replacing step 1124 is a form of hooking. The replacing step 1124 hooks certain  
8 functions from the actual driver 475, while the hooking step 1112 hooks certain functions  
9 from the GDI 460. The proxy driver 490 is a program interfacing between the GDI 460 and  
10 the actual driver 475. Without the proxy driver 490, the GDI 460 would call Drv\* entry  
11 points (i.e., entry points whose names begin with "Drv" by convention) in the actual driver  
12 475, and the actual driver 475 would call Eng\* functions in the GDI 460. The proxy driver  
13 490 interposes between the GDI 460 and the actual driver 475 by hooking some or all of these  
14 Drv\* and Eng\* calls.

15

16 The hooking step 1112 preferably utilizes dynamic linking mechanisms to hook  
17 EngGetDriverName, EngWritePrinter, EngLoadImage and EngUnloadImage. These  
18 functions are implemented by the GDI 460 as part of the kernel mode DLL (dynamic linked  
19 library) win32k.sys. The mechanisms used in dynamic linking can be exploited to replace  
20 these functions for just the actual driver 490 without impacting any other modules. The code  
21 that implements these functions need not be changed. Instead, the function pointers to these  
22 functions within the actual driver 475 are changed to point to the proxy driver's (490)  
23 implementation of these function (called ProxyGetDriverName, ProxyWritePrinter,  
24 ProxyLoadImage and ProxyUnloadImage).

25

26 On modern WINDOW (TM) operating systems (i.e. systems that support WIN32),  
27 dynamic linking is performed by an operating system component called the loader. When an  
28 executable module (either an executable or a DLL) is loaded, the loader is responsible for  
29 inserting function pointers into a portion of the executable module known as the import table.  
30 The import table consists of a list of entries, with each entry specifying a module (e.g.,

1 DLLs), a function name (or ordinal), and a function address. When a module is initially  
2 loaded into memory, the function address portion of each entry is invalid (i.e. NULL). The  
3 loader is responsible for using each entry's module name and function name to determine the  
4 address portion of the entry. If the entry's module is already loaded, the loader will simply  
5 obtain the address of the desired function. If the entry's module is not loaded, the loader will  
6 load it and then obtain the address of the desired function.

7  
8 The structure of WIN32 modules is governed by the Portable Executable (PE) file  
9 format. This file format is documented in detail within the MICROSOFT (Tm) Software  
10 Developers Network (MSDN) Library. Using the PE file format, it is possible to determine  
11 the in-memory location of the import table and selectively replace the function addresses  
12 supplied by the loader with alternative function addresses. This is how the proxy driver 490  
13 "hooks" the EngGetDriverName function, for example, of the actual driver 475. To continue  
14 the same example, the proxy driver 490 replaces the actual driver's (475) function pointer to  
15 EngGetDriverName with a pointer to its own version of this function, i.e.,  
16 ProxyGetDriverName, in the import table.

17  
18 Figure 12 illustrates a method 1200 of operation by the proxy driver 490. Figure 12  
19 illustrates how hooked Drv\* functions (i.e., ProxyEnablePDEV, ProxyDisablePDEV,  
20 ProxyStartDoc and ProxyEndDoc, which hook DrvEnablePDEV, DrvDisablePDEV,  
21 DrvStartDoc and DrvEndDoc, respectively) operate. The method 1200 responds according to  
22 which function (or entry point) has been called. If an entry point other than one of the four  
23 enumerated above is called, then the actual driver 475 handles the call. If, however, one of  
24 the four entry points is called, the proxy driver 490 responds as follows:

25  
26 The function ProxyEnablePDEV is the proxy driver's (490) surrogate for  
27 DrvEnablePDEV, which is used to establish a new printing session. When the proxy driver  
28 490 receives (1204) a call by the GDI 460 to the function ProxyEnablePDEV, the method  
29 1200 responds by calling (1228) the actual DrvEnablePDEV and checking (1232) whether the  
30 target printer is flagged for job status. The checking step 1125 can be performed by reading

1 the "System Printer Settings" flag in the registry 440; this flag is set by the setting step 510 of  
2 the configuration method 500 (Figure 5). If this flag is not set, then the method 1200  
3 terminates. If, on the other hand, the flag is set, then the method 1200 tests (1236) whether a  
4 new job has been created. If a new job has been created and the new job is associated with  
5 the parameters passed in on the function call (e.g., "dhPDEV," "hDevice" and "hPrinter"),  
6 then the method 1200 verifies and/or sets (1240) an association between the job and the  
7 parameters, in case ProxyStartDoc has been called before ProxyEnablePDEV. If a new job  
8 has not been created and associated with the input parameters, then the method 1200 stores  
9 (1244) the parameters, in case ProxyStartDoc is called later.

10  
11 When the function ProxyDisablePDEV is called (1204), the method 1200 calls (1246)  
12 the actual DrvDisablePDEV and tests (1248) whether there is a job associated with the  
13 parameter "dhPDEV" passed in. If there is one, then the method 1200 removes (1252) the  
14 associated job from the job list. Next, the method 1200 tests (1256) whether the current  
15 passed "dhPDEV" equals the last value of that variable set by ProxyEnablePDEV in the step  
16 1240. If so, the method 1200 resets to null the variables stored by the step 1244 to prevent  
17 their usage in the next ProxyStartDoc call.

18  
19 The function DrvStartDoc is called to start a document printing. Not all print sessions  
20 result in printer output. Some print sessions simply obtain information, such as font metrics,  
21 about the target printer, in which case DrvStartDoc is not called. When the proxy driver 490  
22 receives (1204) a GDI 460 call to the function ProxyStartDoc, the proxy's implementation of  
23 DrvStartDoc, the method 1200 responds by verifying (1264) the document name passed in as  
24 a parameter and testing (1268) whether the proxy driver 490 is to monitor jobs for the  
25 associated printer. If so, the method 1200 creates (1272) a new job structure and tests (1278)  
26 whether the input parameter "pso->hdev" equals that stored in the "hDevice" member  
27 variable during the step 1244 of the ProxyEnablePDEV implementation. If the same, then the  
28 method 1200 associates (1282) the new job with the stored member variables, associates  
29 (1286) the last printer name used to this job and resets (1290) the member variables to null.  
30 As part of these steps, the method 1200 writes the job ID into a table record for the printer

1 associated with the parameter "hPrinter." This job ID is later utilized by EngWritePrinter to  
2 mark a print stream, as explained below. Lastly, the method 1200 calls the actual  
3 DrvStartDoc before it returns from ProxyStartDoc.

4

5 When a call from GDI is received (1204) to invoke ProxyEndDoc, the method 1200  
6 calls (1294) the actual DrvEndDoc. The method 1200 then tests (1296) whether a job  
7 associated with the input parameters "pso->hdev" and "pso->dhPDEV" exists. If such a job  
8 can be found, then the method 1200 removes (1298) the job from the internal list.

9

10 As already mentioned, the proxy driver 490 supplies its own implementations of  
11 several functions within the GDI 460 -- namely EngGetDriverName, EngWritePrinter,  
12 EngLoadImage and EngUnloadImage. The proxy version of these functions are called  
13 ProxyGetDriverName, ProxyWritePrinter, ProxyLoadImage and ProxyUnloadImage,  
14 respectively. The operation of these four proxy functions will next be described.

15

16 When the actual driver 475 calls EngGetDriverName, the actual driver expects to have  
17 returned the name of the actual driver file. This name is often used to obtain resources stored  
18 within the driver file. This function should return the file name of the actual driver 475 rather  
19 than the proxy driver 490, even though the actual driver 475 file is replaced with the proxy  
20 driver 490 file. The proxy driver 490 file does not contain the resources required by the  
21 actual driver 475. The actual driver 475 expects to get the actual driver 475 file name when it  
22 calls EngGetDriverName. Accordingly, ProxyGetDriverName returns the file name of the  
23 actual driver 475.

24

25 The function EngLoadImage is hooked to ensure that if the actual driver 475 uses  
26 helper DLLs to accomplish printing tasks, these helper DLLs will also call into the proxy  
27 driver's (490) implementation of the Eng\* functions. Thus, if the actual driver 475 relies on a  
28 helper DLL to print, the proxy driver's (490) implementation of EngLoadImage  
29 (ProxyLoadImage) would hook the same three functions in the helper DLLs if they call these  
30 methods. This process of hooking EngLoadImage guarantees that all helper DLLs call into



1 the proxy driver's (490) implementation of these methods, to prevent potential printing errors.  
2 Similarly, the function EngUnloadImage is hooked (as ProxyUnloadImage) so that unloading  
3 of a helper DLL can be detected and state member variables reset.  
4

5 The function ProxyWritePrinter is used to insert the network-unique job ID into the  
6 output stream. Kernel mode printer drivers call the function EngWritePrinter to pass RAW  
7 printer ready data (e.g. PCL or Postscript) to the GDI 460. By "hooking" the actual driver's  
8 (475) EngWritePrinter function, the proxy driver 490 can filter all of the output from the  
9 actual driver 475. The proxy driver 490 replaces the actual driver's (475) function pointer to  
10 EngWritePrinter with a pointer to its own version of this function, i.e., ProxyWriteEnable.  
11 ProxyWriteEnable calls the real EngWritePrinter, carefully inserting the network-unique job  
12 ID into the output stream. The proxy driver's (490) implementation of EngWritePrinter also  
13 takes into account whether or not a WINDOWS (TM) system printer for which an output  
14 stream is intended has been flagged for print job status tracking, as described above.  
15

16 One of the parameters to the function EngWritePrinter is a handle to the printer,  
17 hPrinter. The proxy driver 490 uses the hPrinter handle supplied to ProxyWritePrinter to  
18 lookup the associated job structure (if one exists) to determine if and when the proxy driver  
19 490 should insert the network-unique ID into the printer output stream. Recall that when the  
20 job was created, it was associated to a hPrinter (as well as other handles), so that a job  
21 structure can be retrieved based on any one of these handles. Accordingly, ProxyWritePrinter  
22 can retrieve an associated job structure using solely this printer handle. The association  
23 between the hPrinter, hDevice and/or dhPDEV and a job structure is accomplished in either  
24 DrvEnablePDEV or DrvStartDoc, depending on the order in which these methods are called.  
25 These three handles are used in conjunction with each other, such that if one is known, the  
26 others can be determined. Thus, using the printer handle, it is possible to determine which  
27 WINDOWS (TM) system printer the EngWritePrinter call is intended for. With this  
28 information available, the proxy driver 490 can later determine whether or not a particular  
29 EngWritePrinter call is intended for a WINDOWS (TM) system printer that has been flagged  
30 for print job status tracking.

1  
2 Figure 13 illustrates a method 1300 of operation of ProxyWritePrinter.  
3 ProxyWritePrinter is invoked with the parameter "hPrinter" supplied as input. Using this  
4 parameter, the registry 440 can be read (specifically, the "System Printer Settings" flag),  
5 which the method 1300 does to test (1310) whether the printer is one for which print jobs are  
6 to be monitored. If so, then print stream output is captured (1320) and tested (1330) as to  
7 whether PJP (print job language) is present. If so, a network-unique ID is inserted (1340) in  
8 the print stream by PJP command JOBATTR. PJP commands should be inserted into a  
9 portion of the output stream only if and where PJP is acceptable. Not all output streams  
10 permit PJP commands. Generally speaking, if an output stream contains PJP commands,  
11 they are permitted. The testing step 1330 detects if the output stream contains PJP  
12 commands. If so, the inserting step 1340 issues one or more PJP commands, including the  
13 JOBATTR command, to insert a network-unique job ID. The network-unique ID can be  
14 synthesized by obtaining from the registry 440 the unique machine ID, which was placed  
15 there by the storing step 520 of the configuration method 500, and combining the unique  
16 machine ID with the print job ID, which is passed in as a parameter when the GDI 460 calls  
17 the ProxyStartDoc function and stored in a table record by ProxyStartDoc.

18  
19 As a final note, the issue of transparency is now addressed. The proxy driver 490  
20 should be transparent to both the GDI 460 and the actual driver 475. In one respect, the proxy  
21 driver 490 is designed to appear to the GDI 460 like the actual driver 475 for all intents and  
22 purposes. In another respect, the actual driver 475 should behave exactly as it would if the  
23 proxy driver 490 were out of the picture. Although a preferred embodiment of the proxy  
24 driver 490 achieves transparency in a particular way detailed above, alternative approaches  
25 can result in the same level of transparency.

26  
27 The proxy driver 490 can accomplish GDI 460 perspective transparency by using the  
28 actual driver 475. When the GDI 460 invokes a method on the proxy driver 490, three things  
29 can happen: (1) the GDI 460 could actually be invoking a method on the actual driver 475;  
30 (2) the GDI 460 could be invoking a method on the proxy driver 490 and the proxy driver 490

1 could, in turn, invoke a method on the actual driver 475; and (3) GDI could be invoking a  
2 method on the proxy driver 490, and the proxy driver 490 could be providing the entire  
3 implementation of the method without relying on any methods supplied by the actual driver  
4 475. The first case is possible because the proxy driver 490 supplies the addresses of actual  
5 driver 475 functions; specifically, the DrvEnableDriver function does this, as explained  
6 above, in regards to the steps 1120-1124 of the method 1100. In the second case, when the  
7 proxy driver 490 invokes a method on the actual driver 475, the proxy driver 490 might do  
8 bookkeeping or other actions before and/or after invoking a method on the actual driver 475.

9  
10 In order to achieve actual driver 475 perspective transparency, the proxy driver 490 is  
11 also designed to create the illusion from the perspective of the actual driver 475 that it is in  
12 direct contact with the GDI 460, with no indication that the proxy driver 490 is acting as an  
13 intermediary. This requires that two conditions be met: (1) the actual driver 475 should have  
14 exactly the same methods invoked with exactly the same parameters in exactly the same order  
15 as would have happened had the proxy driver 490 not been present; and (2) any function  
16 called by the actual driver 475 should return exactly the same result it would have in the  
17 absence of the proxy driver 490. To meet the first condition, the proxy driver 490 preferably  
18 passes all function invocations to the actual driver 475.

#### 19 20 IV. Status Gathering

21  
22 While the proxy driver 490 is busy ensuring that the output stream is marked with  
23 information that uniquely identifies the job, the SAS monitor 450 performs the method 1400,  
24 which is illustrated in Figure 14. The method 1400 detects (1410) the inception of the job,  
25 determines (1420) the job's ID, which can be read from the job itself, and independently  
26 synthesizes (1430) the job's network-unique ID from the machine's unique identifier and the  
27 job's ID. The method 1400 uses the job's ID to monitor the job by querying (1440) the  
28 spooler 430 regarding the job. Additionally, the method 1400 uses the jobs network-unique  
29 ID to monitor the job by querying (1450) the printer 610 regarding the print job. The method  
30 1400 can then notify (1460) the end-user with information regarding the processing of the

1 print job. Typically, only inconspicuous notifications, such as changing an icon in the system  
2 tray, are made—unless something occurs that impedes the completion of the job. If  
3 something occurs that hampers job completion, a status message can be displayed that  
4 provides the user with the relevant information.

5

## 6 V. Conclusion

7

8 What has been described and illustrated herein is a preferred embodiment of the  
9 invention along with some of its variations. The terms, descriptions and figures used herein  
10 are set forth by way of illustration only and are not meant as limitations. Those skilled in the  
11 art will recognize that many variations are possible within the spirit and scope of the  
12 invention, which is intended to be defined by the following claims -- and their equivalents --  
13 in which all terms are meant in their broadest reasonable sense unless otherwise indicated.

14

15

16

1           What is claimed is:

2

3       **1.** A method for configuring a computer to obtain status information for subsequent print  
4 jobs to a printer, the method comprising:

5           supplying a proxy printer driver in place of an actual printer driver associated with  
6 the printer.

7

8       **2.** The method of claim 1 further comprising:

9           configuring the computer to spool RAW datatype to the printer.

10

11       **3.** The method of claim 1 further comprising:

12           storing a unique identifier of the computer.

13

14       **4.** The method of claim 3 wherein the computer utilizes an operating system having a  
15 registry, and the storing step comprises:

16           storing the unique identifier of the computer in the registry.

17

18       **5.** The method of claim 1 further comprising:

19           setting a flag so as to indicate that the computer is able to provide status for print  
20 jobs on the printer.

21

22       **6.** The method of claim 5 wherein the computer utilizes an operating system having a  
23 registry, and the flag is within the registry.

24

25       **7.** The method of claim 1 further comprising:

26           hooking a function in the actual printer driver.

27

28       **8.** The method of claim 1 further comprising:

29           hooking a function in an interface to the actual printer driver.

30

- 1     **9.** A method of gathering status for a print job from a computer to a printer, the method  
2     comprising:  
3             executing a proxy printer driver while producing the print job, wherein the proxy  
4     printer driver is a proxy for an actual printer driver;  
5             inserting into the print job a unique identifier of the print job; and  
6             querying at least one of a spooler and the printer regarding status of the print job.  
7  
8     **10.** The method of claim 9 further comprising:  
9             detecting inception of the print job.  
10  
11    **11.** The method of claim 9 further comprising:  
12            producing a notification of the status of the print job.  
13  
14    **12.** The method of claim 9 wherein the step of executing the proxy printer driver  
15    comprises:  
16            receiving a call to a function; and  
17            calling a corresponding function in the actual printer driver.  
18  
19    **13.** The method of claim 9 wherein the step of executing the proxy printer driver  
20    comprises:  
21            producing RAW data.  
22  
23    **14.** A computer readable medium on which is embedded a computer program, the  
24    program comprising:  
25            a proxy printer driver translation part, the proxy printer driver translation part  
26    being a proxy for an actual printer driver translation part.  
27  
28    **15.** The computer readable medium of claim 14 wherein the program further comprises:  
29            a status configuration utility.  
30

- 1   **16.** The computer readable medium of claim 14 wherein the program further comprises:  
2       a status monitor.  
3
- 4   **17.** The computer readable medium of claim 14 wherein the program further comprises:  
5       a spooler, wherein the spooler comprises a port monitor.  
6
- 7   **18.** The computer readable medium of claim 14 wherein the program further comprises:  
8       a graphic device interface.  
9
- 10   **19.** The computer readable medium of claim 14 wherein the program further comprises:  
11       a registry.  
12
- 13   **20.** The computer readable medium of claim 14 wherein the program further comprises:  
14       the actual printer driver translation part.  
15

## ABSTRACT OF THE DISCLOSURE

An apparatus and methods facilitate collection of print job status information. A first method configures a computer to obtain status information for subsequent print jobs to a printer. The first method supplies a proxy printer driver in place of an actual printer driver associated with the printer. The first method may hook a function in the actual printer driver. The first method may also configure the computer to spool RAW datatype to the printer. The first method may also store a unique identifier of the computer in the registry. The first method may also set a flag within the registry so as to indicate that the computer is able to provide status for print jobs on the printer. A second method gathers print status for a print job from a computer to a printer. The second method executes a proxy printer driver while producing the print job, wherein the proxy printer driver is a proxy for an actual printer driver. The second method inserts into the print job a unique identifier of the print job. The second method also queries at least one of a spooler and the printer regarding status of the print job. Optionally, the second method may detect inception of the print job and produce a notification of the status of the print job. In executing the proxy printer driver, the second method preferably receives a call to a function and calls a corresponding function in the actual printer driver. In some embodiments, the proxy printer driver produces RAW data. The apparatus is a computer readable medium on which is embedded a computer program. The program comprises a proxy printer driver translation part, the proxy printer driver translation part being a proxy for an actual printer driver translation part. Optionally, the program comprises one or more of a status configuration utility, a status monitor, a spooler comprising a port monitor, a graphic device interface, a registry, the actual printer driver translation part and an application.





```

LJ5 HOME - PAUSED
PRINTER DOCUMENT VIEW HELP
DOCUMENT NAME STATUS OWNER PROGRESS STARTED AT
DOCUMENT XYZ SHELL 882 BYTES 7:37:36 PM
1 JOBS IN QUEUE

```

FIG. 1

The screenshot shows the HP DocWise printer control panel interface. At the top, there is a title bar with the HP logo and the text "HP DOCWISE". Below the title bar, there is a large rectangular area with a document icon and the text "YOUR DOCUMENT HAS BEEN PRINTED AND IS READY FOR COLLECTION." Below this, there is a section labeled "DOCUMENT:" with a text box containing "PRINTER TEST PAGE". Below that, there is a section labeled "PRINTER:" with a text box containing "HP LASERJET 8100 NPCL6". Below that, there is a section labeled "PRINTER:" with a text box containing "PRINTED DESTINATION BIN JOB SEPARATOR (BIN 1)". To the right of these text boxes, there is a large rectangular area with a line drawing of the HP LaserJet 8100 NPCL6 printer. At the bottom of the interface, there are four buttons: "OK", "OPTIONS", "CANCEL JOB", and "HELP".

FIG. 2

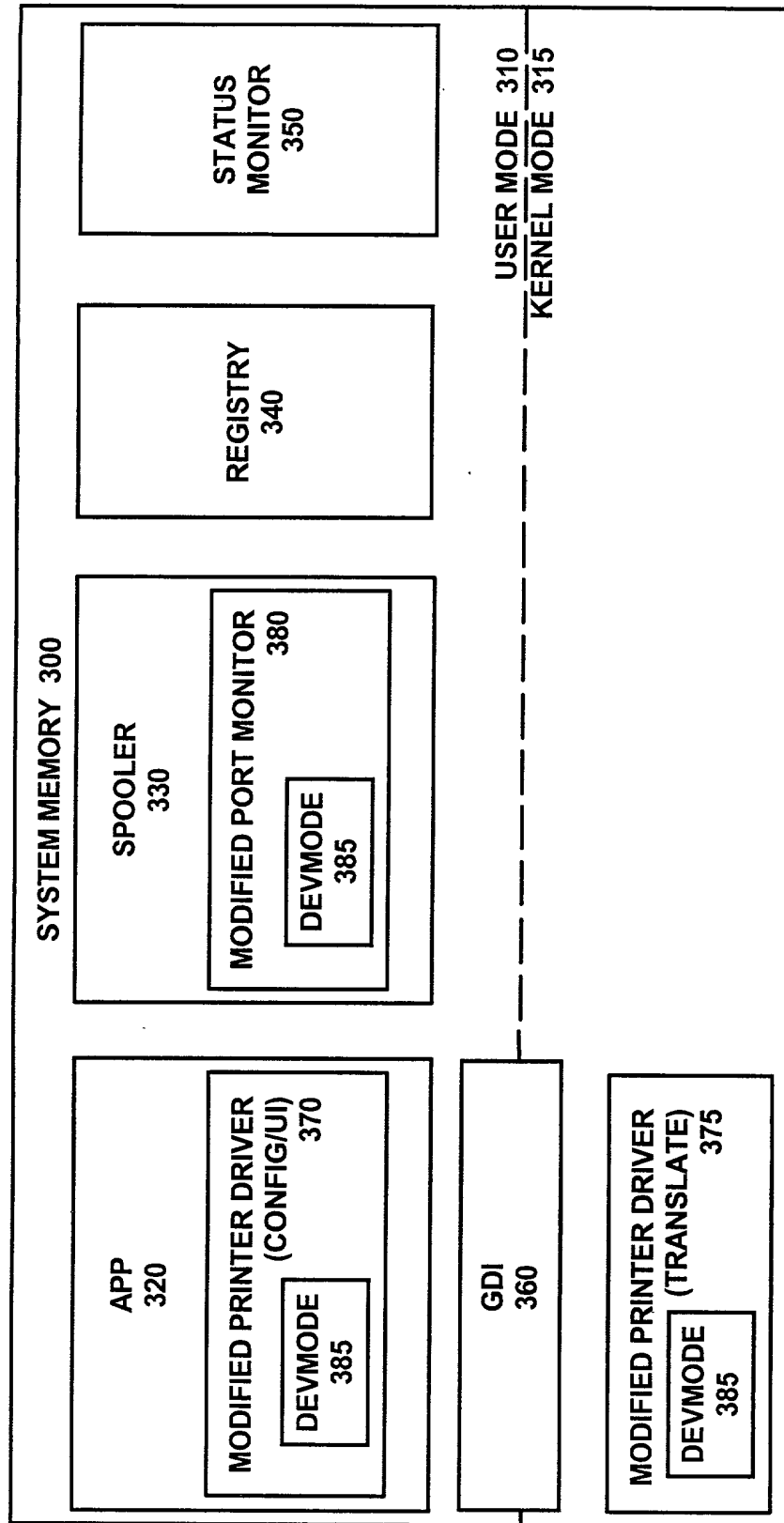


Fig. 3

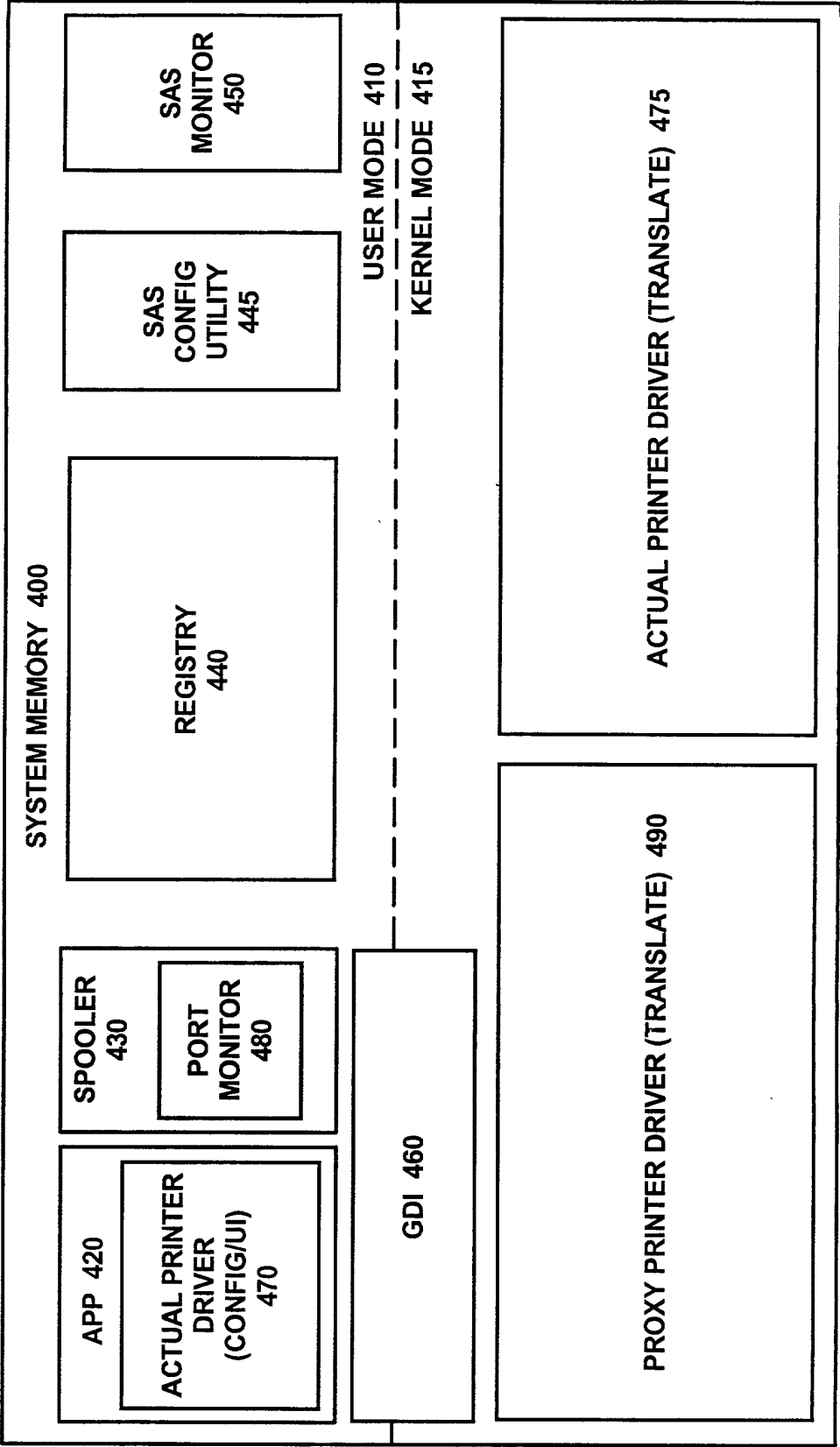
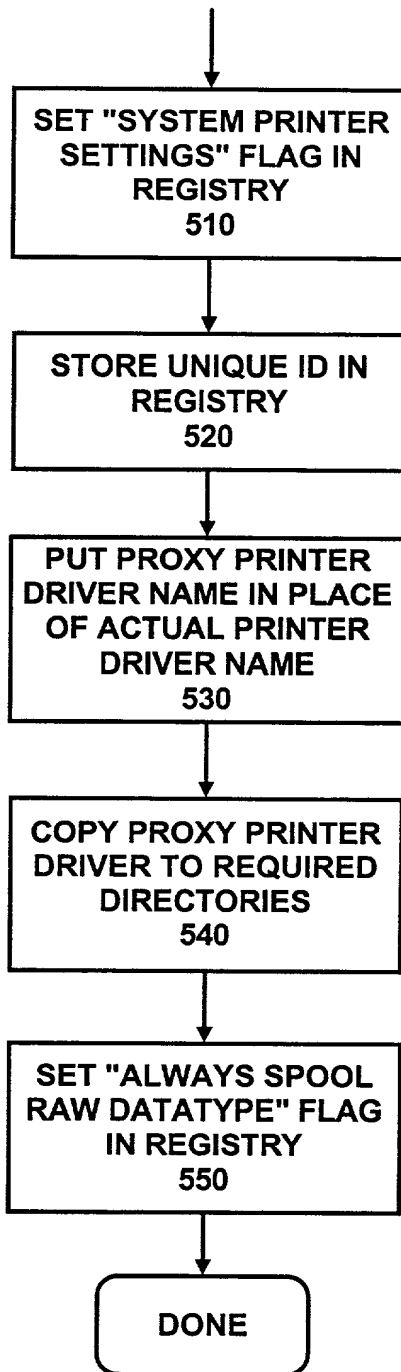


Fig. 4

500



*Fig. 5*

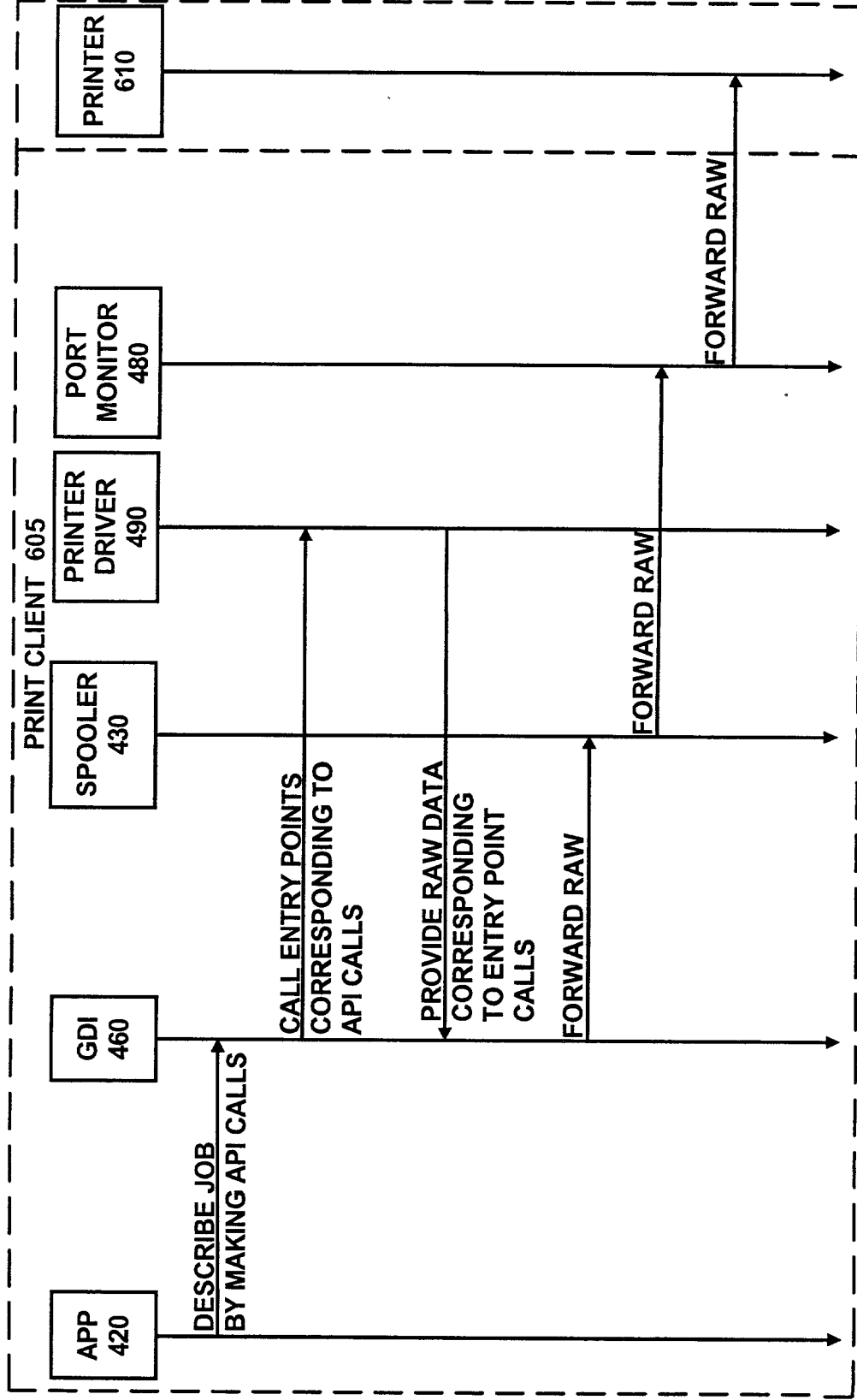


Fig. 6

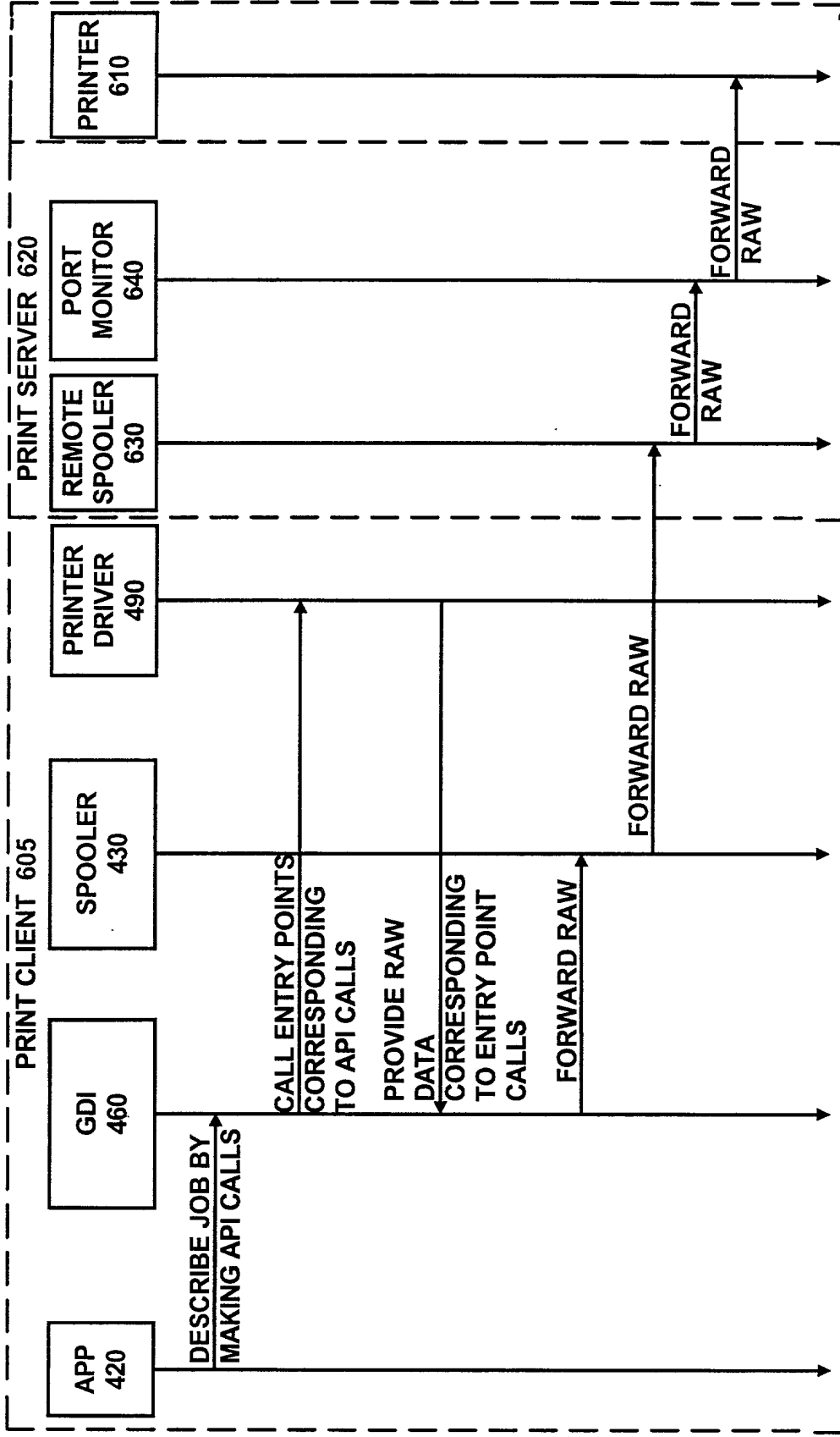


Fig. 7

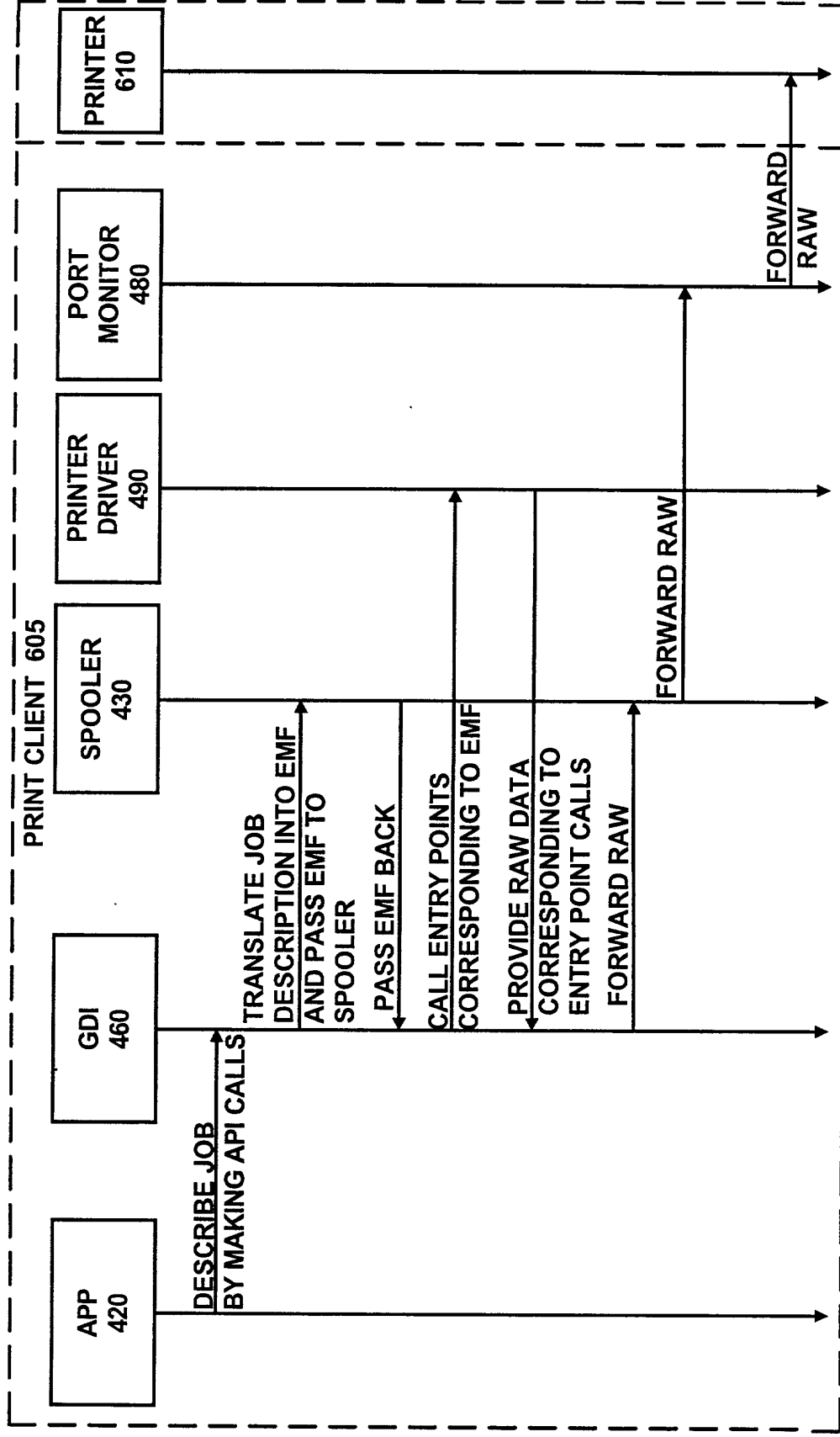


Fig. 8

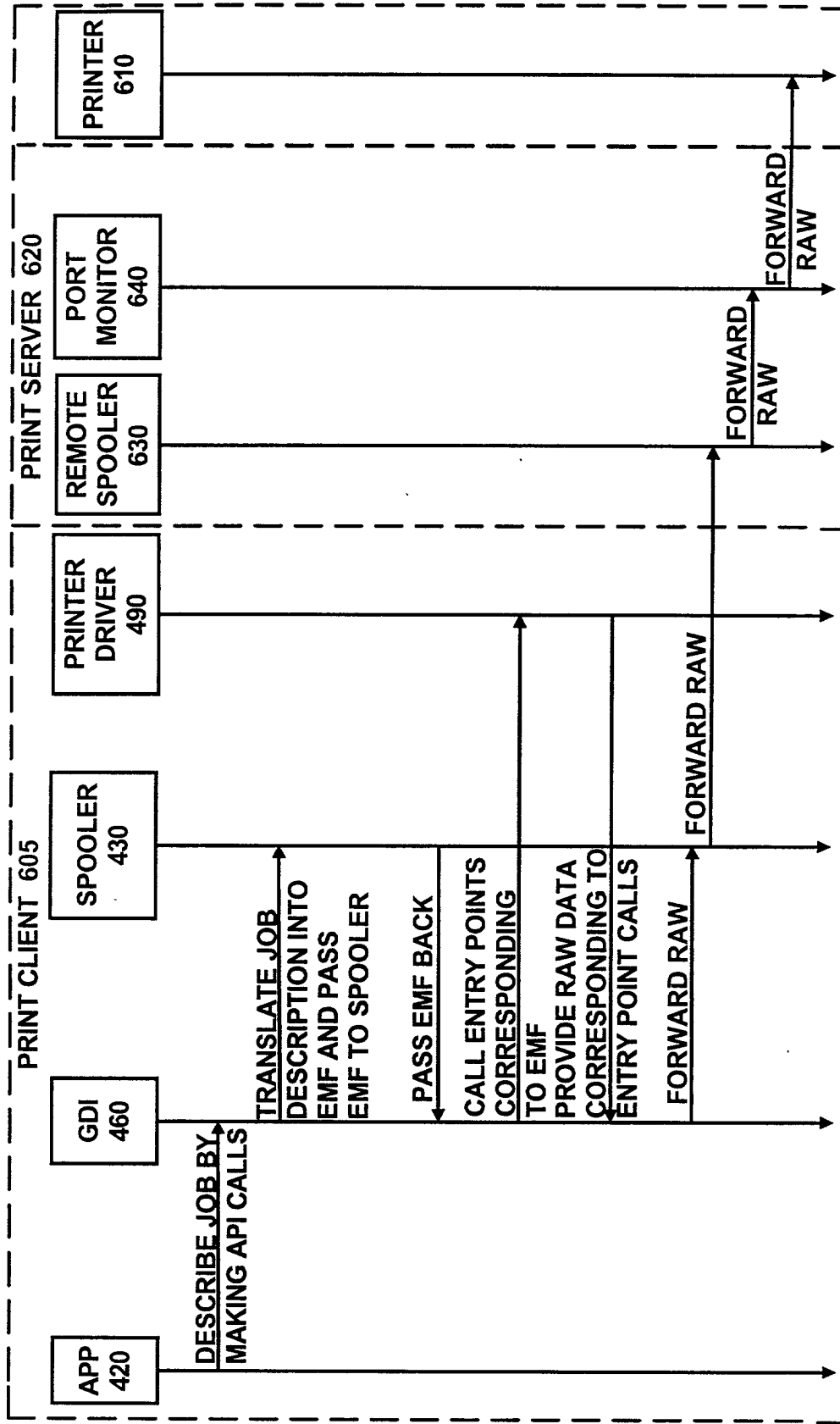


Fig. 9



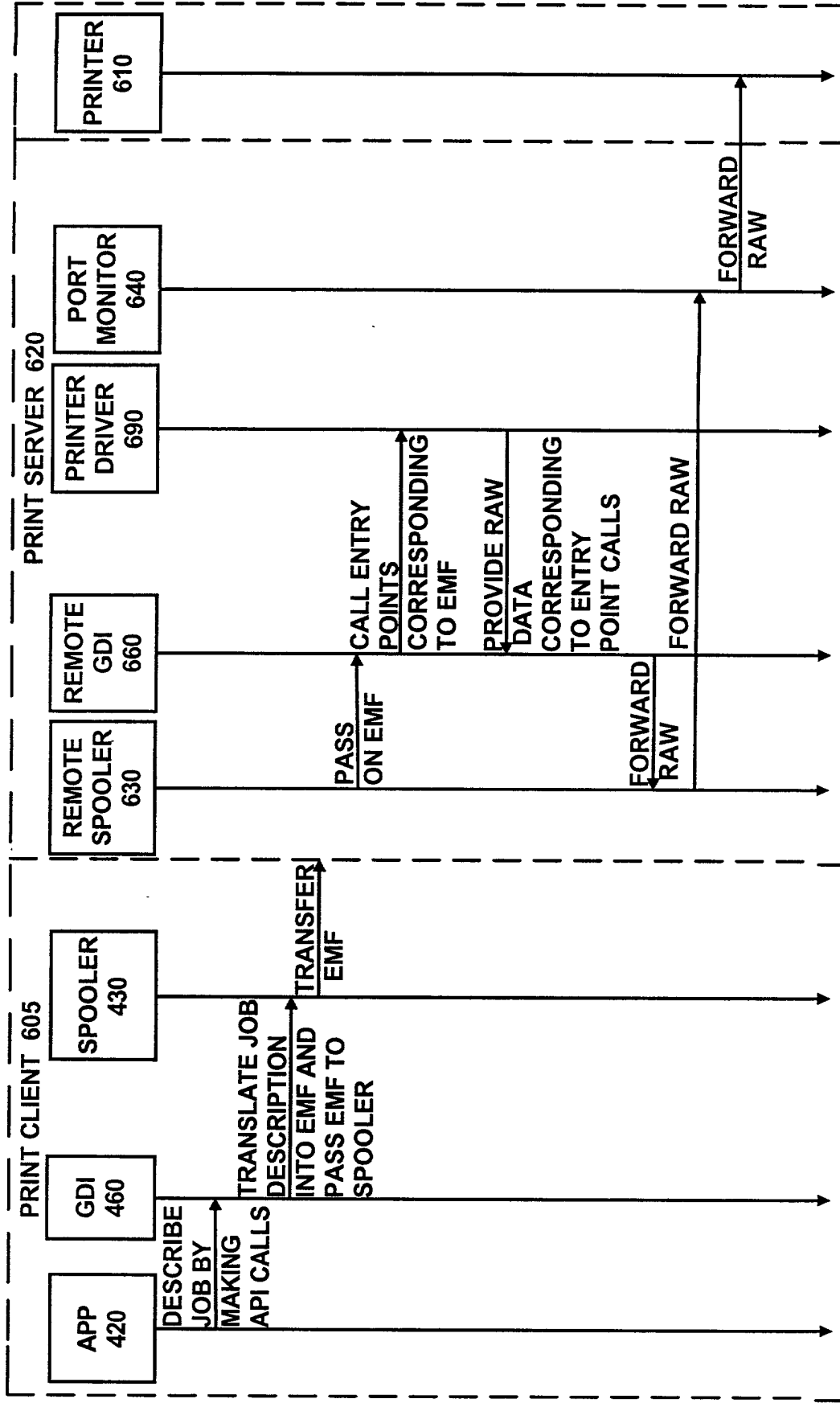
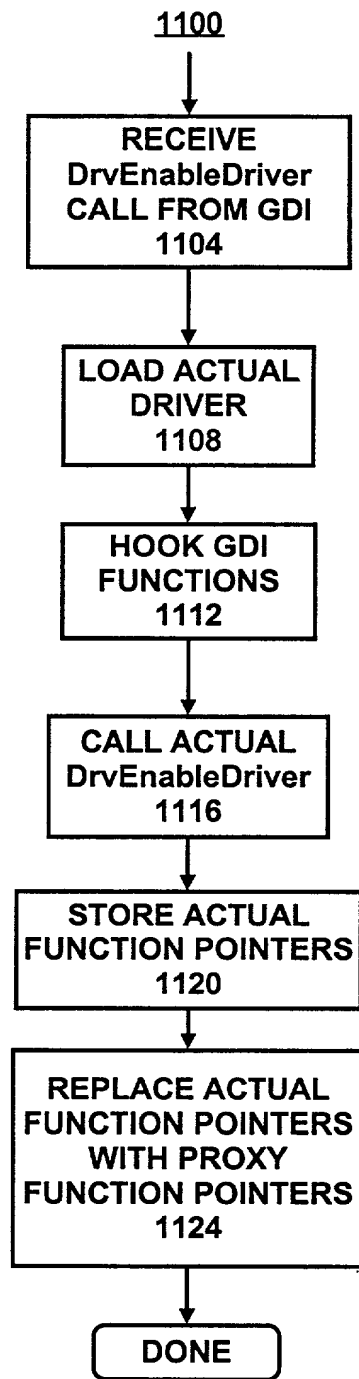


Fig. 10



*Fig. 11*

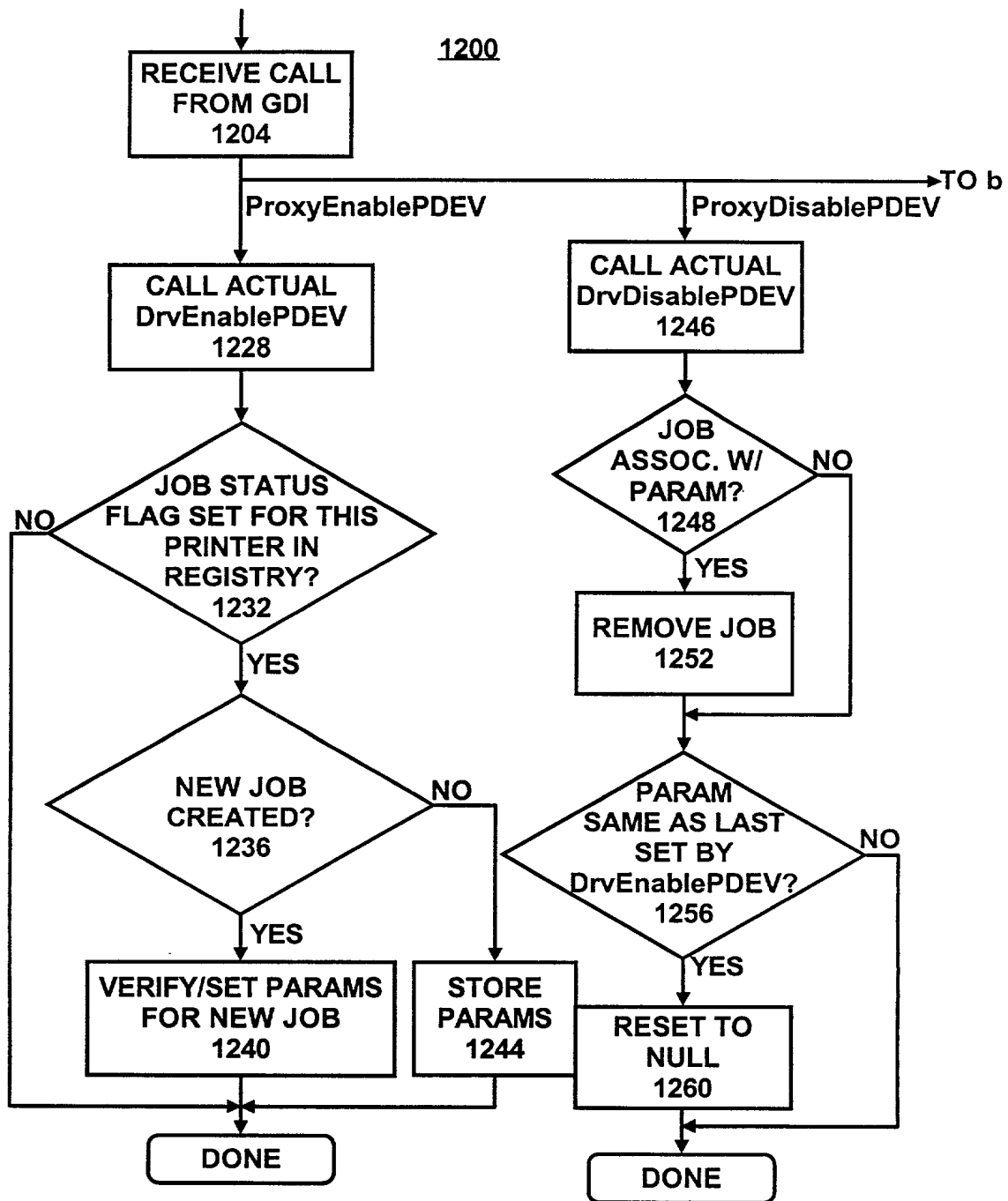


Fig. 12a

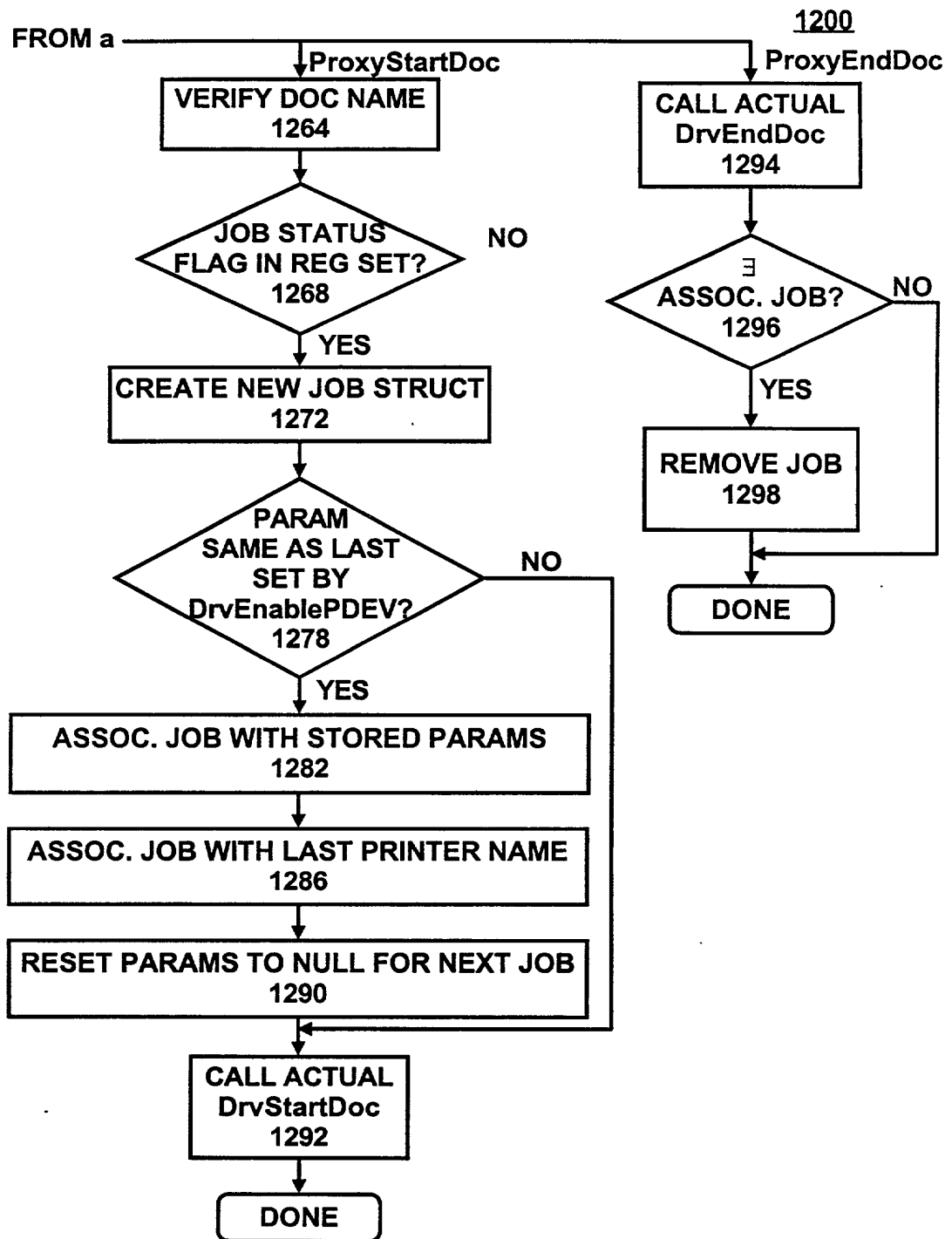
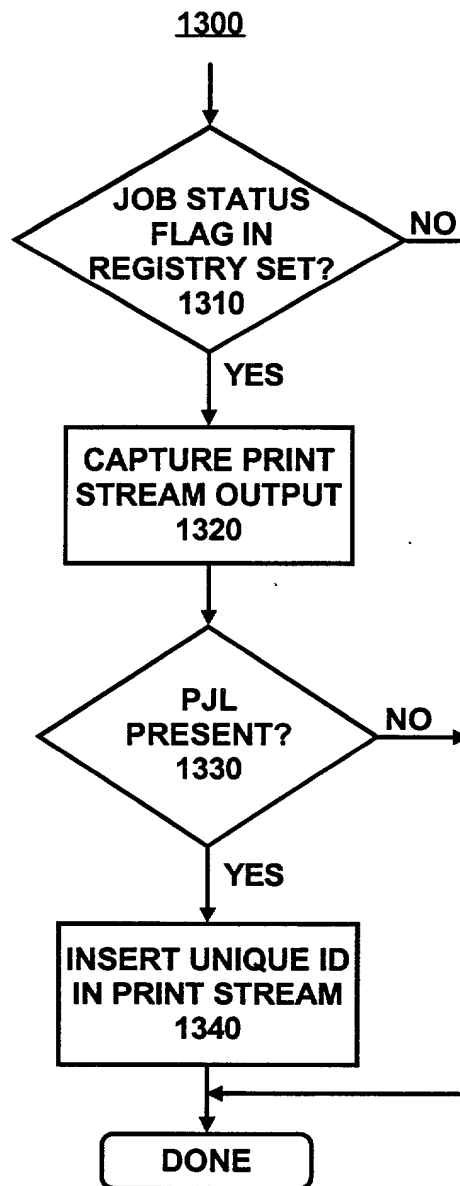
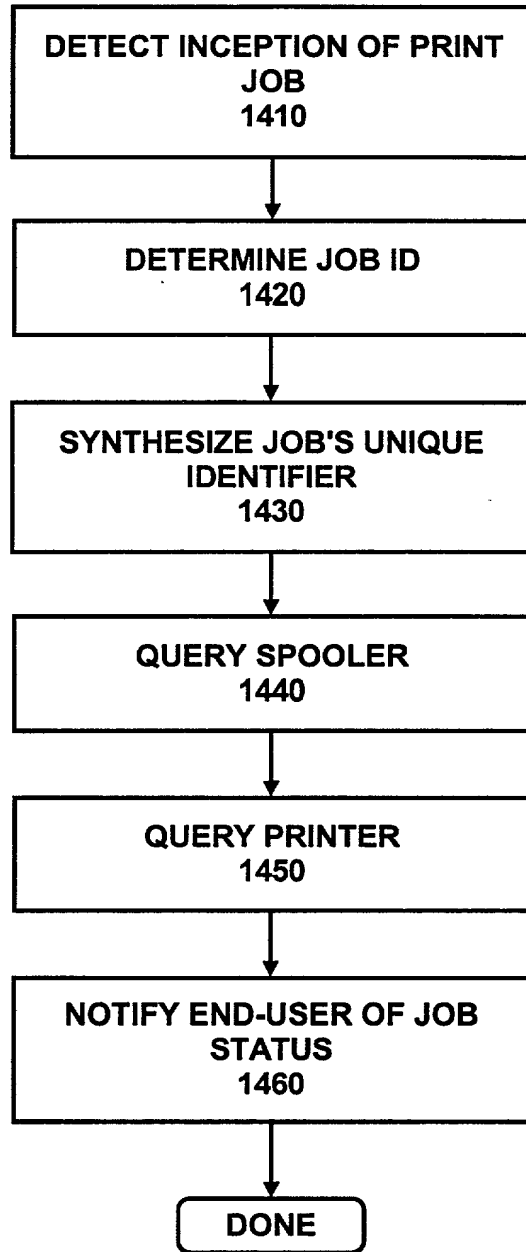


Fig. 12b



*Fig. 13*

1400



*Fig. 14*

**DECLARATION AND POWER OF ATTORNEY  
FOR PATENT APPLICATION**

ATTORNEY DOCKET NO. 10001724-1

As a below named inventor, I hereby declare that:

My residence/post office address and citizenship are as stated below next to my name:

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**METHOD AND APPARATUS FOR PROVIDING PRINT JOB STATUS**

The specification of which is attached hereto unless the following box is checked:

( ) was filed on \_\_\_\_\_ as US Application Serial No. or PCT International Application Number \_\_\_\_\_ and was amended on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understood the contents of the above-identified specification, including the claims, as amended by any amendment(s) referred to above. I acknowledge the duty to disclose all information which is material to patentability as defined in 37 CFR 1.56.

**Foreign Application(s) and/or Claim of Foreign Priority**

I hereby claim foreign priority benefits under Title 35, United States Code Section 119 of any foreign application(s) for patent or inventor(s) certificate listed below and have also identified below any foreign application for patent or inventor(s) certificate having a filing date before that of the application on which priority is claimed:

COUNTRY	APPLICATION NUMBER	DATE FILED	PRIORITY CLAIMED UNDER 35 U.S.C. 119
			YES: _____ NO: _____
			YES: _____ NO: _____

**Provisional Application**

I hereby claim the benefit under Title 35, United States Code Section 119(a) of any United States provisional application(s) listed below:

APPLICATION SERIAL NUMBER	FILING DATE

**U. S. Priority Claim**

I hereby claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

APPLICATION SERIAL NUMBER	FILING DATE	STATUS (patented/pending/abandoned)

**POWER OF ATTORNEY:**

As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith:

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Fort Collins, Colorado 80527-2400

Direct Telephone Calls To:  
  
Matthew C. Phillips  
(202) 863-6415

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

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Inventor's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

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Inventor's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Full Name of # 8 joint inventor: \_\_\_\_\_ Citizenship: \_\_\_\_\_  
Residence: \_\_\_\_\_  
Post Office Address: \_\_\_\_\_  
Inventor's Signature: \_\_\_\_\_ Date: \_\_\_\_\_